
❖ DAFIS NEWS ❖

December 1996 Volume 31

From the Director's Office...

**Changes in the Organization and
Management of DAFIS**

...Jack Fattes, DAFIS Resource Manager, OST/OFM

In the September 1996 edition of the DAFIS NEWS, I presented the basic contents of a draft revision of DOT's financial systems policy which will hopefully be finalized by the time you receive this newsletter. The new direction outlined in the policy moves DAFIS from a centralized system to a more distributed, but still integrated, system composed of feeder, core, and reporting systems. This change in focus, along with other factors, also compelled changes in the DAFIS organization and management. With the implementation of the Chief Financial Officers (CFO) Act, the DOT CFO has overall responsibility for developing and maintaining integrated accounting and financial management systems in the department. It is appropriate that the office of primary responsibility for DAFIS be located in the CFO's office. The Office of the Secretary, Department of Transportation (OST) Office of Financial Management (OFM) now exercises financial and programmatic direction of DAFIS.

Assisting the DOT CFO and the OST OFM Director in directing DAFIS with advice and counsel are the CFO Council and the Financial Management Committee (FMC). The FMC is composed of the OFM Director as chairperson, the financial management directors in each of the operating administrations (OAs), plus the Business Support Manager of Transportation Administrative Service Center (TASC). As the primary recipients of DAFIS services, the FMC meets monthly to address financial management policy, technology, and financial issues including those related to DAFIS. To help plan the DAFIS budget and oversee the use of DAFIS budgetary resources, the

OST OFM Director designated a DAFIS Resource Manager. A new DAFIS budget process was instituted giving the FMC higher visibility of DOT financial systems operations, maintenance and development activities. The new process also resulted in an itemized workplan for moving DAFIS in the new direction.

Implementing the DAFIS workplan is a significant undertaking and necessitates the involvement of numerous key players. FAA's Mike Monroney Aeronautical Center (MMAC) continues its direct support of DAFIS production and maintenance activities, as well as selected improvement and development activities. DAFIS activities at MMAC are a subset of the overall DAFIS budget and workplan and receive oversight and direction from the OST OFM Director. In addition to MMAC, the workplan seeks individual operating administrations as the focal point for acquiring, implementing, and managing individual feeder systems in the department. With the best perspective on the needs of FM customers, the DAFIS management structure advocates a number of OA Feeder System Managers even though they are not directly responsible to the OST OFM Director. Current feeder system projects include travel management, accounts receivable/reim-bursable, procurement, small purchase credit card, and time collection. We are also exploring other priority systems such as property, cost accounting (labor distribution), and payroll.

As we move away from internally designed and developed automated FM functionality, other types of system management expertise become critical. With the acquisition and implementation of commercial off-the-shelf (COTS) feeder systems, DAFIS requires expanded systems integration management know-how. To ensure the efficient and effective transfer of financial transactions and data it is necessary to link multiple and diverse DAFIS

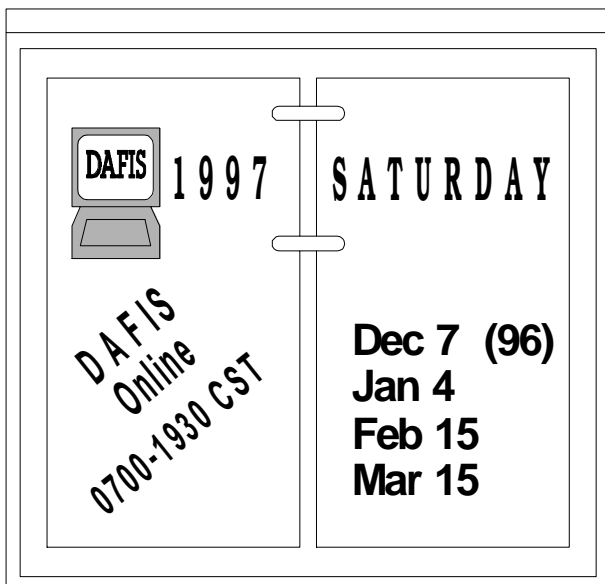
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feeder systems to a departmental core system. DAFIS systems must be skillfully configured so that they are able to work together and can operate in the current and future DOT technological infrastructure. To accomplish this, the services of a Systems Integration Manager are needed and are in the process of being obtained. By contracting out specific tasks, the Integration Manager will oversee the DAFIS technology architecture and employ appropriate standards for its effective operation.

From another perspective, the distribution of responsibility for financial systems calls for assurance that DAFIS supports a core set of financial management needs and requirements whether based on departmental, central agency, or other imperatives. We are currently exploring the scope and nature of such an entity to oversee functional requirements for financial systems.

Other organization and management changes may follow as we move further down the road to implementing the new policy. I encourage you to share your ideas about how DAFIS is managed and what additional skills and approaches may be needed. You can forward your ideas to the OST Director of Financial Management (B-30). ◀



CHANGE 8 TO DAFIS USER GUIDE DISTRIBUTED

User Guide Change 8, dated October 31, 1996, was distributed in early November to all DOT agencies. If you have received your copy, take a few minutes to file the change in your DAFIS User Guide so it will be up to date and contain the latest print of DAFIS information. Instructions for filing Change 8 are included with the change. If you have not received your copy of Change 8, please contact your supervisor. ◀

Pertinent Information



DAFIS 1099 Process Schedule

...Peggy Howard, AMZ-200

The DAFIS 1099 Process will run as indicated below:

- 12/09/96 DAFIS OKC will run and transmit first proof
- 01/06/97 DAFIS OKC will run and transmit second proof
- 01/13/97 DAFIS OKC will run and transmit third proof
- 01/17/97 Agencies Region/Districts will have all adjustments made to proof
- 01/21/97 DAFIS OKC will run and transmit final proof
- 01/21/97 DAFIS OKC will run and print final SF1099s
- 01/22/97 DAFIS OKC will edit and mail SF1099s to vendors
- 01/27/97 DAFIS OKC will prepare transmittal forms and transmit SF1099 information to Internal Revenue Service

If you have questions about the 1099 process or schedule call Peggy Howard, AMZ-200, (405) 954-4958. ◀



FY96 Closes with Great Success

...Jacque Estes, Manager, Production Systems Support Team, AMI-500B

The DAFIS yearend process for FY96 kicked off at 7:30 p.m. on Saturday, October 5 and ran 24 hours a day through Tuesday, October 15. The yearend team was staffed by 13 technical and 9 functional employees all of whom worked 18 days straight without a day off.

During the yearend process, 268 major jobs ran 1,126 programs, creating 521 data transmits and approximately 300 reports. In addition, 30 Natural programs, designed to ensure database integrity, were run during yearend. The total processing time for these jobs was 451.54 hours (or the equivalent of 18.81 days). By taking advantage of opportunities to run numerous jobs in tandem on dual production databases, this amount of work was accomplished in only 11 days, and resulted in only 6 workdays disruption to the DAFIS user community.

DAFIS processed \$7,026,263,820 in vendor payments during FY96, with an average daily output of \$27,536,823. The total number of transactions processed through DAFIS during FY96 was 18,286,807. ◀

DAFIS PROJECTS

Year 2000

...Jo Ann Felix, Year 2000 Team, AMZ-200

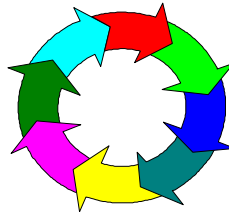
DAFIS changes are necessary so the system properly functions in the 21st century. MMAC is in the process of making DAFIS year 2000 compliant. The Year 2000 Team is beginning the initial phase bringing DAFIS batch programs into the new millennium.



Required system changes include providing the capability for DAFIS to correctly (1) recognize and (2) process date fields because DAFIS currently uses two digits to represent the year. The change in century impacts DAFIS reports, extracts,

sorts, updates, restarts, copy routines, hard-coded dates embedded in the code, calculations that use date fields, and date fields in both the database and non-database files such as interface files. Currently, DAFIS plans to keep the existing two-digit-year fields and use program logic to determine the century. Therefore, users will still enter the last two digits of the fiscal year when the next century arrives.

Watch for additional news regarding this DAFIS project in future issues of the DAFIS NEWS. ◀



OKC TEAM DAFIS EMBRACES INTERNAL PROCESS IMPROVEMENT PART III

...Steve Dugan, IPI Team, AMI-500

In the September issue of DAFIS NEWS the different phases of the IPI process were described. The subject of the article was Maturity Levels, Key Process Areas (KPAs), and the requirements to become a Level 2 organization.

A quick review.....IPI rates software organizations by five well-defined "Maturity Levels." Maturity Levels are divided into components known as Key Process Areas (KPA's). An organization must fulfill all of the KPA requirements before it can progress to the next higher level. Currently DAFIS is satisfying a great deal of the requirements for a "Level 2" organization.

The six KPAs identified for a Level 2 organization are:
Requirements Management
Project Planning
Project Tracking and Oversight
Subcontract Management
Quality Assurance
Configuration Management

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DAFIS SYNERGY

.... STEVE DUGAN, IPI Team, AMI-500

syn-er-gy (sin' èr-ji), 1. Combined action or operation. 2. Cooperative action such that the total effect is greater than the sum of the two or more effects taken independently. 3. The whole is greater than the sum.

The word synergy describes TEAM DAFIS perfectly. We can use the recent DAFIS Yearend Process as an excellent example. The Yearend Process is extremely complicated, and in one way or another it touches every person associated with DAFIS. It requires our most talented and dedicated people from every branch of DAFIS to successfully complete the process each year. Intensive work starts long before the processing actually occurs. It involves extensive planning from the DAFIS B-30 management team on down throughout the national and local management teams. The DAFIS program modification team and the DAFIS accounting team worked a considerable number of hours during weekends and evenings modifying and testing yearend programs to ensure that all changes were of the highest quality. The DAFIS Job Control Language (JCL) team spent dozens of hours checking and double checking the yearend JCL files to ensure that everything would be perfect. The DAFIS customers worked extremely hard to make certain their files would be in top condition and that every transaction amount balanced to the penny. Finally, when it was time to start the process, the DAFIS Production team and the DAFIS Accounting team staffed the system 24 hours a day, 7 days a week to guarantee a quick response to potential problems and that all programs performed perfectly. People throughout DAFIS from the customers, accountants, analysts, programmers, production support to the managers were involved in the yearend effort. All of these combined efforts resulted in the best yearend process in DAFIS history.

It has long been known by craftsmen who design and create ropes that a three-strand rope is much stronger than three single strands of rope. Team DAFIS is a multi-strand collection of extremely dedicated people who contribute and share in this ongoing success story. People working together toward a

common goal are the true strength of the DAFIS system. In our case "the whole truly is greater than the sum."

A sincere THANK YOU to all the people in TEAM DAFIS for their continued dedication to excellence, and to all the people throughout the past who have worked to make DAFIS the excellent system that it has become today. <

DAFIS NEWS

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ASK DAFIS NEWS

Q ■ I would like to know more about Prior Year Recoveries. Is there a documented explanation/definition? ...Brad Halcum, USCG Financial Center

A ■ Yes, in response to your request the following enhanced explanation (see page 5) has been written and will be included in Change 9 to the User Guide. In the meantime, you may wish to file this explanation in your User Guide along with the current definition in Section 3, Page 6.

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If you have a question for the "Ask DAFIS NEWS" column, please write to the Mike Monroney Aeronautical Center, Attn: DAFIS NEWS (AMZ-2B), P. O. Box 25082, Oklahoma City, OK 73125. Fax number is (405) 954-4380.

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Prior Year Recoveries (PYR)

...Stacey Cavett, DAFIS Operations & Training Lead, AMZ-2B

Prior year recoveries represent downward adjustments in annual, no-year and multiple-year appropriations relating to obligations that incurred in prior years. These adjustments are not netted but amounts are accumulated in the PYR field and in General Ledger Account 48PY (Transaction Code 804) to be reported as "recoveries of prior year obligations." These funds are not available to be used again except by approval from OMB.

Automatically Generated Transactions -

DAFIS automatically generates a prior year recovery transaction (Transaction Code 804) in situations in which downward adjustments to prior year funds are classified as prior year recoveries.

Following are the basic business rules that must be met for DAFIS to automatically generate a prior year recovery transaction:

- The fiscal year in the document ID is a prior fiscal year.
- The effective date on the document is in a prior fiscal year.
- The transaction must be a deobligation (debit 48AX or 49AX, credit 46AX), the reversal of a deobligation (debit 46AX, credit 48AX or 49AX), or it must generate deobligation netting.

Exceptions to this criteria are:

- Adjustments made on G, J, or Z schedules.
- Legislative exemptions:
 - (R07 - PYR exclusion flag field exempts appropriations)
 - (R06 - PYR exclusion flag field exempts program elements).

To allow the system to make the determination whether a prior year recovery will be generated or not, leave the Format 03 PYR field blank. DAFIS assigns one of the following values to the PYR field:

- **P** indicates that the system generated a prior year recovery transaction.
- **S** indicates that the system did not generate a prior year recovery transaction.

NOTE: Typical situations where a PYR transaction would be generated include the reversal of an undelivered order (UDO - Transaction Code 0512) or a "final" transaction on a document (Transaction Status Code F) where deobligation netting occurs.

Manual Intervention -

The following manual interventions can be made:

- Enter **Y** in the PYR field of Format 03 to override the automatic process and generate a prior year recovery transaction.
- Enter **N** in the PYR field of Format 03 to override the automatic process and prevent automatic generation of a prior year recovery transaction.
- A prior year recovery transaction can be entered or reversed manually. On Format 03 enter Transaction Code **804** to record the prior year recovery or **8042** to reverse the prior year recovery. It is not possible to reverse more than was initially recorded as a prior year recovery.

NOTE: Transaction Code 804 debits General Ledger Account 46AX and credits General Ledger account 48PY.

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The purpose of **Requirements Management** is to produce and document a clear understanding of the project requirements between the customer and the software developer. The Requirements Management KPA and its relationship to the DAFIS system will be described in detail below.

Requirements Management History

In the distant past (we are talking about when dinosaurs roamed the earth, well maybe not quite that far back) the majority of software projects lacked a formal system for obtaining an agreement on customer product requirements. Throughout the world, the common method for obtaining project requirements has been trial and error. As time passed, processes were created and formalized, but in most cases the processes were unsatisfactory. Many times project requirements were not discussed in detail and documentation to instruct developers in methods for obtaining project requirements was nonexistent. IPI has changed the whole picture. IPI provides guidelines for arriving at a clear set of requirements to minimize confusion between the customer and the software developer. In other words, the developer has an accurate view of the customer's needs. This set of requirements becomes the basis for planning and managing the project from beginning to end.

AMI's Part

At the MMAC facility in Oklahoma City, our Office of Information Services (AMI) Management Team is dedicated to instituting the IPI methodology throughout all our systems. AMI's plan is to proceed through the IPI process step by step, with the overall goal of attaining higher maturity levels. By attaining higher maturity levels we will assure that our AMI systems will stay competitive and on the leading edge. As a first step, a steering group was established to provide guidance for the project. After several AMI systems went through a formal assessment, an IPI unit was established. The IPI unit is responsible for providing technical guidance and coordination for the project. In addition to the above activities, two teams have been established and are working to develop formal Software Standards and Guidelines. One team is assigned to work on the Requirements Management KPA and

the second is working on the Project Planning KPA. As each team completes their assignment a new team is assigned to work on the remaining KPAs. AMI is committed to continued software improvement.

Impact on DAFIS

Team DAFIS, being a part of AMI, has become a key player in the IPI effort. You may have heard about the newest DAFIS project, DAFIS Year 2000. The project's purpose is to assure that the DAFIS system will continue to function properly when the year turns from 1999 to 2000. DAFIS Year 2000 is the first DAFIS project to be developed using the IPI methodology. The project is by far the best planned project that I have ever witnessed. Even though we are at the beginning of a long-term project, the early results are indicating that the project is progressing very well. I attribute these positive early results to DAFIS management and the Year 2000 Team's dedication to the IPI methodology. It's great to see the project progress so well.

DAFIS is a very efficient system that performs a great deal of complicated functions very well. The current DAFIS processes and procedures work effectively, but there is always room for improvement. The team effort to constantly improve the system has always impressed me. This is where IPI comes into the picture. IPI does not contain magical formulas nor is it a cure-all for all software challenges. It does contain a methodical plan (based upon proven methods) to improve every aspect of software development, and if it is used correctly it greatly improves product quality and lowers customer cost. IPI's main purpose is to improve our processes. It organizes and records our processes so we do not have to keep re-inventing the wheel. I personally am very excited to be involved with this new methodology. First hand experience with the DAFIS 2000 project and with other aspects of the IPI effort has made me a firm believer that this truly is the key to improved software development.

In the March 1997 issue we will define additional KPA's.◀